

Submittal Process



Submittals are required by the contract in order to regulate the timely flow of materials to be incorporated in the work.





Submittals are necessary to prove that the proposed materials are in compliance with the contract.





All required submittals must be provided by the contractor in time to allow for the review, approval, procurement, delivery, and performance of the preparatory phase of the 3-phases of control before it is needed for construction.



 EXAMPLE : Distribution Box needed by December 1



8 – 10 Non-work days and any holidays

PLAN AHEAD



QC RESPONSIBILITY

- Submittal process is part of your QC Plan.
- Assure that on-site management and the designer of record (if applicable) remains attentive to submittal procedures at all times.
- Responsible for thorough review to ensure submittals are in full compliance with contract requirements.



 Quality Control Manager assures that work must NOT be permitted to begin without properly approved submittals.



Submittal Classifications



- Government Approved (GA or G)
 - 100% reviewed
- For Information Only (FIO)
 - At least 10% reviewed
 - o Reliance on QC Manager! ... Partnering!

Submittal Classifications



Government Approved (GA or G)

- Extension of Design (example: Fire Alarm System, Prefabricated Building, Structural Steel Drawings)
- Critical Materials
- O&M Manuals
- Equipment that must be checked for compatibility with the entire system
- Variations
- For Information Only (FIO)
 - All other submittals

Submittals for a Project



- Each section of the technical specifications specifies:
 - Submittals required
 - Whether each requires Government approval (GA)
 - Submittals are grouped by submittal descriptions (SDs)

Submittals for a Project



Lightweight Aggregate Concrete

Written recommendations from lightweight aggregate supplier on batching and mixing cycles.

Dry Shake Finish

Manufacturer's written instructions on application of dry shake material 15 days prior to start of construction.

SD-04 Samples

Surface Retarder

Sample of surface retarder material with manufacturer's instructions for application in conjunction with air-water cutting.

SD-06 Test Reports

Testing and Inspection for Contractor Quality Control[; G][; G, []]

Certified copies of laboratory test reports, including mill tests and all other test data, for portland cement, blended cement, pozzolan, ground granulated blast furnace slag, silica fume, aggregate, admixtures, and curing compound proposed for use on this project.

SD-07 Certificates

Oualifications

Written documentation for Contractor Quality Control personnel.

1.5 QUALIFICATIONS

Contractor Quality Control personnel assigned to concrete construction shall be American Concrete Institute (ACI) Certified Workmen in one of the following grades or shall have written evidence of having completed similar qualification programs:

Concrete Field Testing Technician, Grade I Concrete Laboratory Testing Technician, Grade I or II Concrete Construction Inspector, Level II

Concrete Transportation Construction Inspector or Reinforced Concrete Special Inspector, Jointly certified by American Concrete Institute (ACI), Building Official and Code Administrators

Submittal Reviews by AED



Government Approved

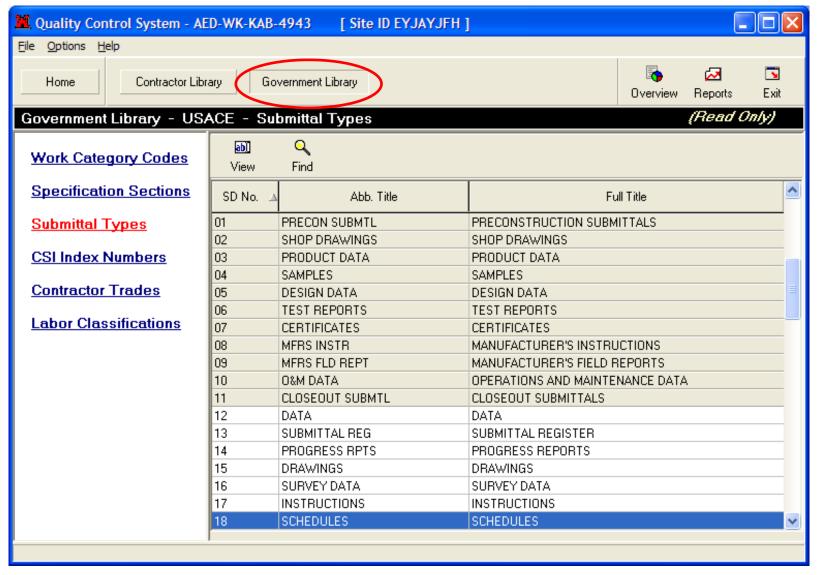
- A approved
- B approved, except as noted
- C approved, except as noted, must resubmit
- E disapproved, must resubmit

For Information Only

- F receipt acknowledged
- FX received, does not comply with specs, must resubmit

Types of Submittals (QCS)





You also see a drop-down list when you are making a transmittal form.

Submittal Types



SD-01 Preconstruction Submittals include:

- Initial Construction Progress Schedule (cost-loaded)
- Initial Submittal Register (generated in QCS)
- Accident Prevention Plan
- Quality Control Plan (construction and design)
- Environmental Protection Plan

Submittal Types



SD-02 – Shop Drawing Submittals include:

- Drawings
- Schedules
- Diagrams
- Other data prepared specifically for the contract by contractor or through subcontractor, manufacturer, supplier, distributor.

Submittal Types



SD-03 – Product Data Submittals include:

- Manufacturer's Descriptive Literature
- Catalog Data
- Brochures
- Pre-printed material not prepared exclusively for the contract.
- Can include samples of warranty language when the contract requires extended product warranties.

Definitions of other SD numbers can be found in the QCS User Guide

What is the Submittal Register?



- Eng Form 4288-R
- Keeps track of submittal status
 - Shows link to pay activities
 - Shows Transmittal numbers
 - Shows dates
 - ~ When submitted to government
 - ~ When returned to contractor

A submittal register is produced when all data is input into QCS and RMS

Submittal Register



Design-Bid-Build

- Govt. supplies the submittal register
- The register is nearly complete at the beginning of the project

Design-Build

- Contractor develops the submittal register
- Register must grow as design progresses
- Reviewed and approved by the Government

Submittal Register



 Submittal activities may be required to be incorporated into the construction schedule in order that the submittal progress can be tracked in conjunction with the overall progress.

 Care must be taken that the schedule accurately reflects the status on the submittal register.

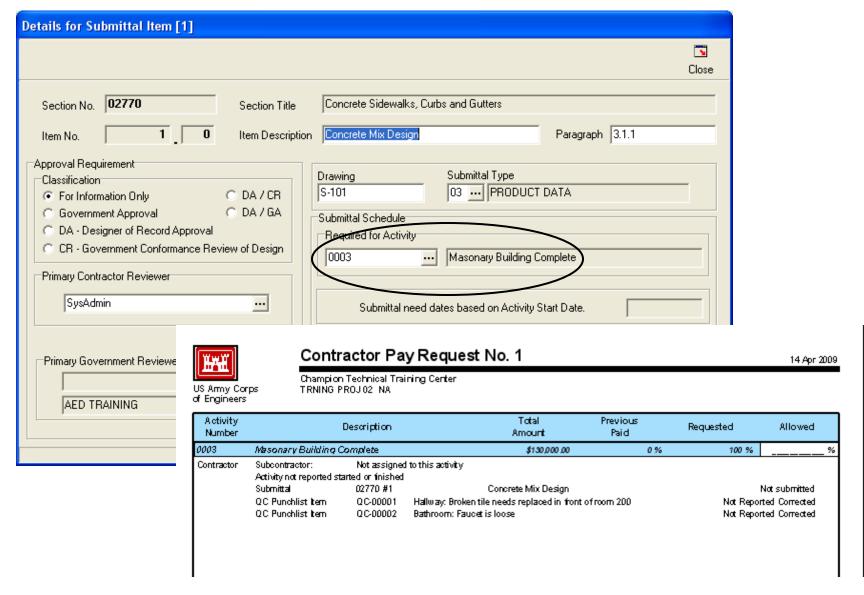
Submittal Register (QCS)



CHE	NAITT	ΓΛΙ	DECICTED	(ER 415-1-10)	TITLE AND LOCATION A	NA Garrison (Gamb	eri Phase 2,Jalalabad	d, Afghanis	tan			DATE	29 Se	p 2009
SUBMITTAL REGISTER			REGISTER		CONTRACTOR DynCorp International LLC				CONTR	RACT NUMBE	/917PM-08-C-0076 NA				
ACTIVITY	TRANS-	ITEM	SPEC	DESCRIPTION OF		CLASSI- FICATION REVIEWER				CONTRACTOR SCHEDULE DATES		CONTRACTOR ACTION		GOVERNMENT ACTION	
No.	MITTAL No.	No	PARAGRAPH No.	SUBMITTAL	TYPE OF SUBMITTAL	FIO GA, DA or CR		OFFICE / NAME	SUBMIT NEEDED BY	APPROVAL NEEDED BY	MATERIAL NEEDED BY	CODE	CORPS RECEIVED DATE	CODE	CORPS RETURNED DATE
SECTION - 00400 Representation/Certifications/Statment															
0002AA	1	1	00400 1.1	NCCL Laboratory Certificate	CERTIFICATES	FIO						Α	07 Feb 09	F	07 Feb 09
0006AF	2	2	00400 1.1	Certification of Rise Laboratory	CERTIFICATES	GA	RO	DURHAM, DAMON				Α	06 Jul 09	Α	06 Jul 09
0004AK	3	5	00400 1.1	Pre Qualification &Technical Manual	CERTIFICATES	FIO	RO	DURHAM, DAMON				Α	05 Sep 09	F	11 Sep 09
SECTION - 01010 Summary Of Work															
0001AA	1.1	1	01010 4.1	General Master Plan	DESIGN DATA	GA	RO	DURHAM, DAMON				Α	07 Mar 09	В	07 Mar 09
	1	2	01010 4.1	Topographic Survey	SURVEY DATA	GA	RO	DURHAM, DAMON				Α	24 Sep 08	Α	08 Oct 08
SECT	ION - 01	335	Submittal Proc	edures For Design-Build Project					2		2				
0001AA	1	1	01335 1.2.1	35% Design Package	DESIGN DATA	GA	RO	DURHAM, DAMON				Α	18 Dec 08	В	08 Jan 09
0001AA	2.1	2	01335 1.2.1	65% Design Package	DRAWINGS	GA	RO	GREEN, ROGER				Α	07 Jul 09	С	31 Jul 09
0001AA	2.2	3	01335 1.2.1	65% Design Package (2nd ReSubmittal)	DESIGN DATA	GA						Α	18 Sep 09		
SECT	ION - 01	400	QC Plan												
	1	1	01400 3.3	Quality Control Plan	QLTY ASSUR PLN	GA	RO	DURHAM, DAMON				Α	24 Sep 08	Α	08 Oct 08
SECT	ION - 01	451	QC Resume												
	1	1	01451 3.4.2	QCM Resume	CERTIFICATES	GA	RO	DURHAM, DAMON				Α	15 May 09	Α	17 May 09
SECT	ION - 01	525	Safety & Occup	ational Heath Requirement	50	100			0	50	50			91	40
	1	1	01525 1.8	Accident Prevention Plan	PROTECTION PLAN	GA	RO	DURHAM, DAMON				Α	24 Sep 08	В	08 Oct 08
	2	2	01525 1.2	Security Plan	SAFETY CONSID	GA	RO	DURHAM, DAMON				Α	24 Sep 08	Α	08 Oct 08
SECT	ION - 02	315	Excavation, Fill	ing & Backfilling Building				*							-
0004AG	1	1	02315 1.11	Filling and Backfilling Material	TEST REPORTS	FIO						Α	18 Jan 09	F	18 Jan 09
SECTION - 02510 Water Distribution System															
0004AD	1	1	02510 2.2.1.1	PVC Fittings (Polyfit)	PRODUCT DATA	FIO	RO	DURHAM, DAMON				Α	30 Aug 09	F	31 Aug 09
SECT	ION - 02	531	Sanitary Sewer	S											
0003AB	1	1	02531 2.2.1.1	UPVC Plastic Pipes (Royal Products)	PRODUCT DATA	GA	RO	GREEN, ROGER				Α	11 Jan 09	F	18 Jan 09
0003AB	2	2	02531 2.2.1.1	UPVC Plastic Pipes (Milli Factory)	PRODUCT DATA	GA	RO	GREEN, ROGER				А	11 Jan 09	F	18 Jan 09
SECT	ION - 02	722	Aggregate Bas	Course						10	1				***
0006AF	1	1	02722 1.4.2.1	Base Course Mix Design	MIX DESIGN	GA	RO	DURHAM, DAMON				Α	16 Jul 09	Α	16 Jul 09
SECT	ION - 02	741	02741	-		1					•	•		•	
0006AF	1	1	02741 2.3	Mix Design of Asphalt	MIX DESIGN	GA	RO	DURHAM, DAMON				Α	16 Jul 09	В	16 Jul 09
	ION - 02	748	Bituminous Tac	k and Prime Coats	to the second se		'								
0006AF	1		02748 2.3	Asphalt Binder Course	MIX DESIGN	DA						Α	04 Aug 09	A	04 Aug 09
0006AF	2	2	02748 2	Bituminous Tack and Prime Coats	TEST REPORTS	FIO						Α	01 Aug 09	A	04 Aug 09
	ION - 03		Structural Cond	rete Formwork		1 2 3	-10	1							
0004AC	1		03100 2.1.2	Form Releasing Agent	PRODUCT DATA	FIO						Α	13 Jan 09	F	18 Jan 09
	ION - 03		Concrete Reinf	1 7 7	process and the second second second	,	-1	1		L	l.				,
	ANGE :		Consists Relin								S	ORT:	SECTION 8	ITEN	1
					Page 1	-£ 1									

Submittal Register





Submittal Review



- Typically 14 days
- Submittal reviews must be coordinated with your Corps field office (COR)
 - Number of hard copies and where to send
 - QC Manager reviews
 - Govt. will compare submittals to project specifications, to include referenced building codes and standards

Transmittal Form



	TRANSMITTAL OF SHOP DRAWINGS, EQ MANUFACTURER'S CERT (Read instructions on the revers	DATE			TRANSMITTAL NO.					
TO:	SECTION I - REQUEST I	FOR APPROVAL OF THE FOLLO'	R APPROVAL OF THE FOLLOWING ITEMS (This sec			by the contro	CHECK ONE: THIS IS A NEW TRANSMITTAL THIS IS A RESUBMITTAL OF TRANSMITTAL			
	CATION SEC. NO. (Cover only one section with	PROJECT TITLE AND LOCATION					CHECK ONE: TH			
NO.	DESCRIPTION OF ITEM S (Type size, model num		MFG OR CONTR. CAT., CURVE DRAWING OR BROCHURE NO. (See instruction no. 8)	NO. OF COPIES		T REFERENCE UMENT	FOR CONTRACTOR USE CODE	VARIATION (See instruction No. 6)	FOR CE USE CODE	
					SPEC. PARA. NO.	DRAWING SHEET NO.				
	ь.		ε.	d.		f.	9.	Δ.	ž.	
-									-	
REMAR	ks			1	in detail and	are correct a	Ibmitted items and in strict cor ecifications exc	nformance w	vith the	
		CECTION II ADD	DOVAL ACTION		NAI	ME AND SIGN	IATURE OF CO	NTRACTOR	t	
	SURES RETURNED (List by Item No.)	SECTION II - APPI NAME, TITLE A	NOVAL ACTION AND SIGNATURE OF A	PPROVIN	IG AUTHORIT	Y	DATE			
ENG E	ORM 4025-R MAR 95	-10I EDITION OF SEE	93 IS OBSOLETE		SHEET C) F		(Bonnesse)	CEMP CE	

Transmittal Form



- Transmittal Numbers
 - Spec. Section #
 e.g. 01451-1, 01451-2, 01451-3, ...
 - Resubmittals for 01451-1
 ~01451-1.1, 01451-1.2, 01451-1.3, ...
- A transmittal can include multiple items, but all items should be from the same Specification Section

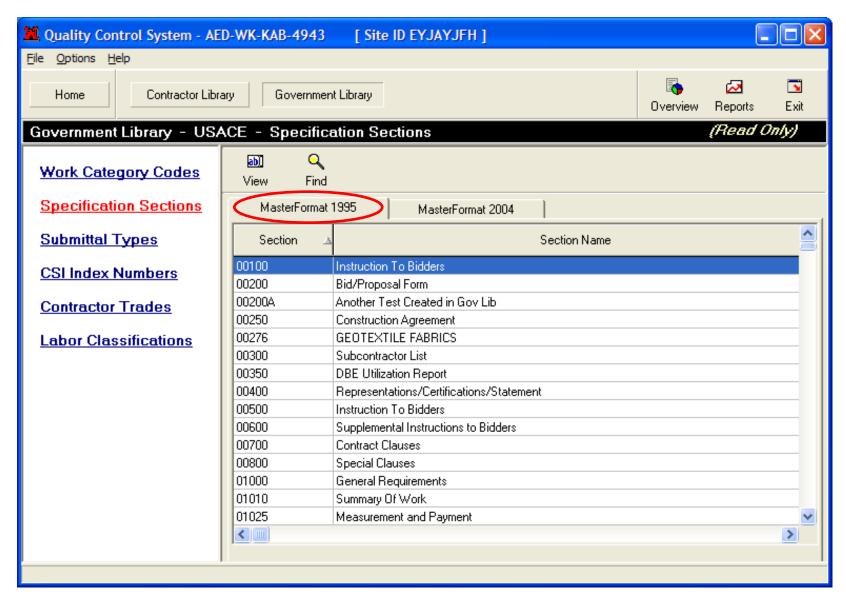
Technical Specifications



- Unified Facilities Guide Specification (UFGS)
 - Master Format 1995
 - ~ Section Number 02840, "Active Vehicle Barriers"
 - Master Format 2004
 - Section Number 34 71 13.19, "Active Vehicle Barriers"
- Guide specifications are used to develop the contract technical specifications

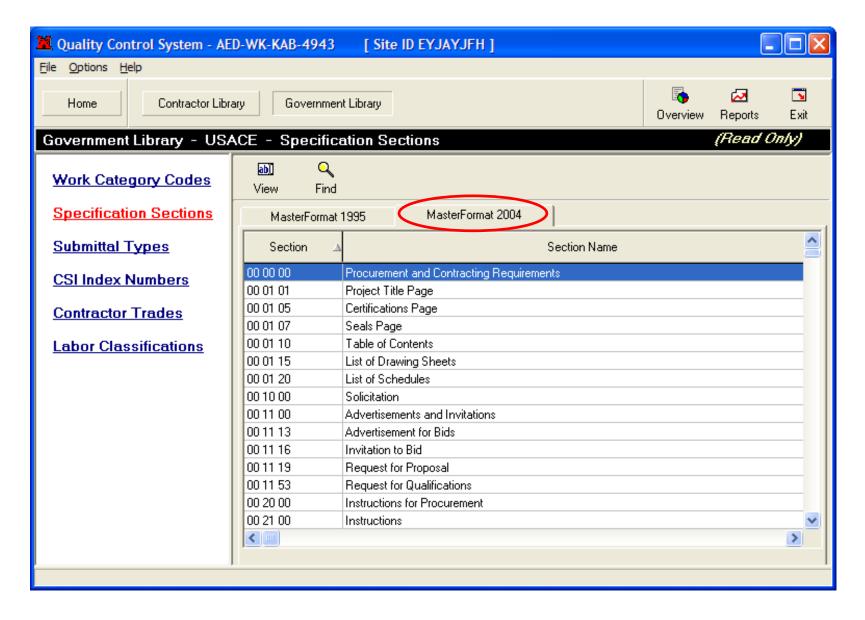
Specification Sections (QCS)





Specification Sections (QCS)





Conversion 1995 to 2004

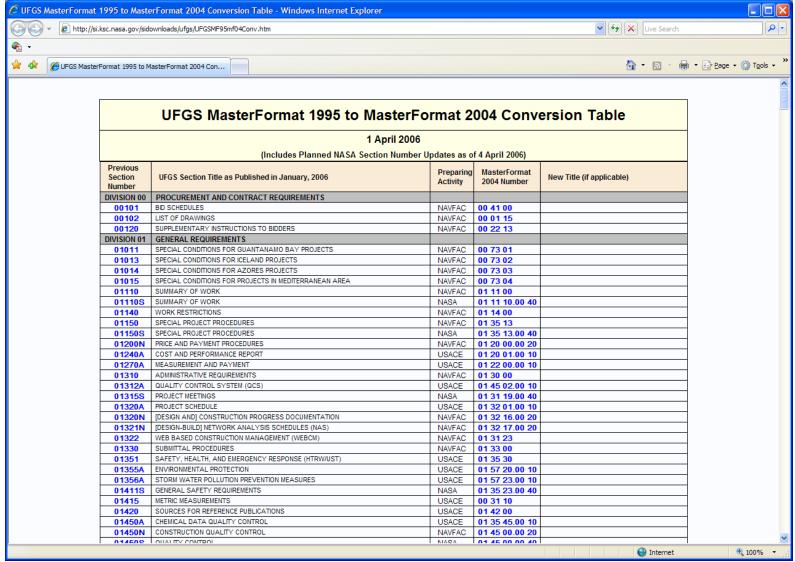


1995	DIVISION 1 DIVISION 2 DIVISION 3 DIVISION 4 DIVISION 5 DIVISION 6 DIVISION 7 DIVISION 8 DIVISION 9 DIVISION 10 DIVISION 11 DIVISION 12 DIVISION 13 DIVISION 14 DIVISION 15 DIVISION 15 DIVISION 16	GENERAL REQUIREMENTS SITE CONSTRUCTION CONCRETE MASONRY METALS WOOD AND PLASTICS THERMAL AND MOISTURE PROTECTION DOORS AND WINDOWS FINISHES SPECIALTIES EQUIPMENT FURNISHINGS SPECIAL CONSTRUCTION CONVEYING SYSTEMS MECHANICAL ELECTRICAL
	DIVISION 16	ELECTRICAL

49 Divisions (first 14 Divisions remained the same)

Conversion 1995 to 2004





Websites



Conversion from 1995 Specifications to 2004

http://si.ksc.nasa.gov/sidownloads/ufgs/UFGSMF95mf04Conv.htm

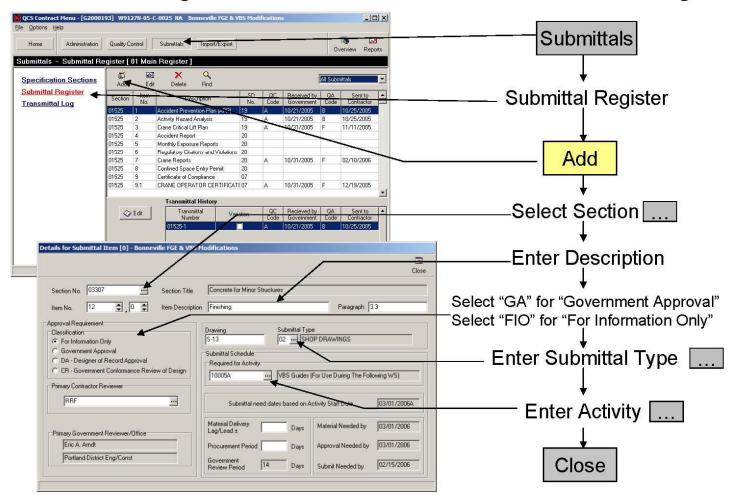
UFGS Publications – Other Important COE publications

http://www.hnd.usace.army.mil/techinfo/engpubs.htm

Adding Items to Submittal Register

TOURS OF PROPERTY OF THE PROPE

Adding a submittal item to the submittal register



Preparing a Transmittal



Preparing a Transmittal to send to the Government

